

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Branch

In re Patent Application of

Applicant : Eiichi HATAKEYAMA)

Serial No. : Not Yet Known)

Filed : Concurrently)

For : METHOD FOR INVESTMENT)
MANAGEMENT)

Attorney Docket: 32307-177799)

PRELIMINARY
AMENDMENT

January 17, 2002

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Prior to examination please amend Claim 14 as follows:

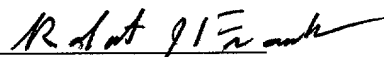
14. (amended) The method of investment management as claimed in Claim 1, wherein the beneficiary right is consolidated investment beneficiary right that further includes a beneficiary right on the basis of securities with stock instrument included issued by the entrepreneur.

REMARKS

This Preliminary Amendment is being filed in order to eliminate the multiple dependency of Claim 14. Pursuant to 37 CFR 1.121(c)(1)(ii), a marked up version of Claim 14 is attached hereto showing the change made to this claim.

An action on the merits of Claims 1-23 is requested.

Respectfully submitted,



Robert J. Frank
(Registration No. 19,112)

Venable

P.O. Box 34385

Washington, D.C. 20043-9998

Telephone 202-962-4800

RJF/njp

Mark-ed Up Version of Amended Claim 14

14. (amended) The method of investment management as claimed in [one of Claims 1 to 13] Claim 1, wherein

the beneficiary right is consolidated investment beneficiary right that further includes a beneficiary right on the basis of securities with stock instrument included issued by the entrepreneur.

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